Presented by :
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D R A F T
PCIE/ECIE REVIEW GUIDE
PHASE I

For use in reviewing an agency's

CRITICAL INFRASTRUCTURE

ASSURANCE PROGRAM

OVERVIEW

- "Brief" the PCIE/ECIE Review Guide
- Discuss roles/responsibilities
- Next actions

STILL A "DRAFT"

- Additional changes are likely based on:
  - input from CIAO
  - input from participating OIGs
  - others (?)

OVERALL REVIEW OBJECTIVE

Review the adequacy of the Federal Government's critical infrastructure protection program in the context of PDD 63.

4 REVIEW PHASES

- 2 phases re. cyber infrastructures

- 2 phases re. physical infrastructures

PHASE I OBJECTIVE (Cyber infrastructures)

- Review adequacy of agency *planning and assessment* activities for protecting critical, cyber-based infrastructures.

- Focus on:
  - Agency plans
  - Asset identification
  - Vulnerability assessments

PHASE II OBJECTIVE
(Cyber infrastructures)

- Review adequacy of agency *implementation* activities for protecting critical, cyber-based infrastructures.

- Focus on:
  - Risk mitigation
  - Emergency management
  - Interagency coordination
  - Resource/org req's
  - Recruitment, education and awareness

PHASE III OBJECTIVE (Physical infrastructures)

- Review adequacy of agency *planning and assessment* activities for protecting critical, physical (non-cyber) infrastructures.

- Focus on:
    - Agency plans
    - Asset identification
    - Vulnerability assessments

PHASE IV OBJECTIVE (Physical infrastructures)

- Review adequacy of agency *implementation* activities for protecting critical physical infrastructures.

- Focus on:
  - Risk mitigation
  - Emergency management
  - Interagency coordination
  - Resource/org req's
  - Recruitment, education and awareness

"MECHANICS"

									Appendix 3

Schedule of Review Results

Agency:_____

OIG point of contact
    Name: _____
    Telephone No.: _____
    E-mail address: _____

		Answer to Review Step			Cause	Effect of	Est. Date of	Est. Cost of	Is Est. cost in Agency CIP	
W/P Ref.	Review Step	Yes	No	Not Applic.	If "No" Answer in Col. (d)	Nonperformance	Resolution	Resolution	Budget	Recommendation
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)
C-19	*Sample: A.15.d* Has the agency established a system for responding to significant infrastructure attacks <u>while they are underway</u>, with the goal of isolating and minimizing damage?		X		Agency has not designated an entity with responsibility for preparing such a plan.	Ongoing damage may not be isolated and minimized. Ability to accomplish core mission may be severely harmed.	12/31/00	No cost. Existing personnel will be used to prepare and implement the plan.	Not applicable	Agency management should establish a system for responding to significant infrastructure attacks while they are underway.

Notes:
A mark in column (c) indicates that the agency has taken sufficient action.
A mark in column (d) indicates that the agency has <u>not</u> taken sufficient action.
Complete columns (f) through (k) only if column (d) has been marked.
Information contained in columns (h) and (i) should be obtained from the appropriate agency officials, not generated by the reviewer.

MILESTONES

- Phase I
  - Begin 1/00
  - Complete fieldwork 5/00
  - Issue "final" 9/00
- Phase II
  - Begin 6/00
  - Complete fieldwork 10/00
  - Issue "final" 3/01

- Phase III
  - Begin 11/00
  - Complete fieldwork 4/01
  - Issue "final" 8/01
- Phase II
  - Begin 5/01
  - Complete fieldwork 9/01
  - Issue "final" 2/02

RESPONSIBILITIES OF PARTICIPATING OIG's

- "Scope" the review

- Conduct the fieldwork

- Schedule and summarize the results

- Issue agency-specific reports

RESPONSIBILITIES OF PCIE/ECIE WORKING GROUP

- Consolidate schedules of review results

- Issue reports

REVIEW MANAGEMENT

- Russell A. Rau, Chairperson, FAEC
- Dave Gandrud, Director, IT Program Audits, NASA OIG
- Roger Flann, Program Manager, IT Program Audits, NASA OIG

NEXT ACTIONS

- By 12/1/99, OIG's will submit comments, if any, to Gandrud/Flann re. Phase I Draft Review Guide.

- By 12/1/99, OIG's will advise Gandrud/Flann of participation/non-participation in the review.

- 12/30/99: Working Group will distribute the "final" version of the Review Guide.

- 1/2000: OIG's will initiate agency reviews.